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ABSTRACT

The conclusions and recommendations resulting from studies of faculty development in California's public colleges and universities, which were conducted in response to a directive from the state legislature, are presented. The report is divided into the following sections: (1) background (origins and conduct of the study); (2) the scope of faculty development (purposes; extent, scheduling and examples of activities; and standards); (3) state policies and support for faculty (current sources of support, institutional decisions about the use of state funds, and alternatives); and (4) summary, conclusions and recommendations. Among the recommendations are: that an increased proportion of any additional funds should be directed toward the improvement of undergraduate instruction; and that better planning, coordination and evaluation of faculty development should be established. Eleven tables provide data on faculty participation and funding. Contains 7 references. (KM)

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STATE POLICY FOR FACULTY DEVELOPMENT IN CALIFORNIA PUBLIC HIGHER EDUCATION

CALIFORNIA POSTSECONDARY EDUCATION COMMISSION

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Summary

In Supplemental Language to the 1986 Budget, the Legislature directed the California Postsecondary Education Commission to conduct studies of staff development in California's elementary and secondary schools and of faculty development in its public colleges and universities. In this report, the Commission presents its conclusions and recommendations from the college and university study.

The basis for these conclusions and recommendations comes from the staff's report on faculty development programs in out-of-state institutions that the Commission published in November 1987 as *Faculty Development from a State Perspective* (Commission Report 87-42), plus the research of the consulting firm of Berman, Weiler Associates, which surveyed faculty members and administrators in all three segments of California public higher education about faculty development activities and programs. The Commission has published the three volumes of the Berman, Weiler study, *Exploring Faculty Development in California Higher Education*, as Commission Reports 88-18 to 88-20.

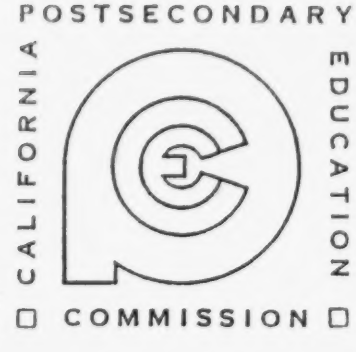
The policy report on staff development in California's public schools that is parallel to this one on colleges and universities has been published by the Commission as Report 88-21. It is based on the findings of a study conducted for the Commission by the Far West Laboratory for Educational Research and Development, and Policy Analysis for California Education (PACE); and the Commission has produced the findings of that study as Reports 88-22 and 88-23. (The various documents stemming from the total project are listed among other Commission publications on the back cover of this report.)

The Commission adopted this report at its meeting on May 2, 1988, on recommendation of its Policy Development Committee. Additional copies may be obtained from the Library of the Commission at (916) 322-8031. Questions about the substance of the report may be directed to William K. Haldeman of the Commission staff at (916) 322-7991.

STATE POLICY FOR FACULTY DEVELOPMENT IN HIGHER EDUCATION

A Report to the Governor and Legislature in Response to Supplemental Language in the 1986 Budget Act

CALIFORNIA POSTSECONDARY EDUCATION COMMISSION
Third Floor • 1020 Twelfth Street • Sacramento, California 95814-3985



COMMISSION REPORT 88-17
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Contents

Executive Summary 1

1. Background of the Report 3
   - Origins of the Study 3
   - Conduct of the Study 3
   - Acknowledgments 3

2. The Scope of Faculty Development 5
   - The Meaning of "Faculty Development" 5
   - Purposes of Faculty Development 6
   - Extent of Faculty Development Activities 6
   - Scheduling of Development Activities 7
   - Examples of Special Development Activities 9
   - Standards for Effective Faculty Development 12

3. State Policies and Support for Faculty Development 15
   - Current Sources of Support 15
   - Institutional Decisions About the Use of State Funds 16
   - Alternatives for State Support 17

4. Summary, Conclusions and Recommendations 21
   - Summary 21
   - General Conclusions 22
   - Conclusions About the Segments 24
   - Policy Recommendations 25

References 29

Displays

1. California Community College Full-Time Faculty Participation in Instruction-Related Development Activities, Academic Year 1985-86 7

2. California State University Full-Time Faculty Participation in Instruction-Related Development Activities, Academic Year 1985-86 8

3. University of California Full-Time Faculty Participation in Instruction-Related Development Activities, Academic Year 1985-86 8

4. Sources of Support for Faculty Development in All Three Segments of California Public Higher Education, 1985-86 (Dollars in Thousands) 15

5. Sources of Support for California Community College Faculty Development, 1985-86 (Dollars in Thousands) 15

6. Sources of Support for California State University Faculty Development, 1985-86 (Dollars in Thousands) 16

7. Sources of Support for University of California Faculty Development, 1985-86 (Dollars in Thousands) 16

8. State Support Compared to Faculty Personal Funds Spent for Off-Campus Faculty Development Activities 17

9. Application of the First Option to Actual Investment for Faculty Development in the California Community Colleges and the California State University, 1985-86 19

10. Application of the Second Option to Actual Investment for Faculty Development in the California Community Colleges and the California State University, 1985-86 20

11. Application of the Third Option to Actual Investment for Faculty Development in the California Community Colleges and the California State University, 1985-86 20

Executive Summary

THROUGH the 1986 Budget Act, the Legislature directed the Commission to undertake a descriptive study of faculty development programs in California's public colleges and universities in order to clarify State policy and improve State decision making about faculty and staff development programs that have a common goal of improving the quality of instruction by enhancing the knowledge, skills, and motivation of educators and those who serve students in other ways.

This report responds to that directive. Part One on pages 3-4 provides background information about the report; Part Two on pages 5-14 explains the meaning and scope of faculty development; Part Three on pages 15-20 describes current and possible State policies for supporting faculty development; and Part Four on pages 21-27 contains the Commission's conclusions and recommendations.

The Commission finds that the State of California has been funding faculty development in its three public segments of higher education at an estimated level of $42 million per year. Considering the fact that the State's General Fund expenditure for current operations in the three segments exceeds $4.5 billion, the Commission concludes that this level of investment (less than 1 percent) in the maintenance of faculty is modest at best and appears to be unfocused in its aims. Therefore it offers the following recommendation for State policy (p. 26):

RECOMMENDATION 1: The State should ensure that in the budgeting of any additional funds for faculty development, an increased proportion of its support is directed toward the improvement of undergraduate instruction. Specifically, this goal includes, but is not limited to:

1. **Improving instruction for students with diverse learning styles;**
2. **Improving the faculty's abilities to use new technologies;**
3. **Developing new means of student assessment;**
4. **Retraining faculty for teaching in a related field; and**
5. **Providing release time and other support for women and minority faculty for scholarly activity.**

The Commission also finds that segmental and campus efforts at planning for the most effective use of State funds have been minimal. In order to ensure that the priority needs of the faculty are met, that the State's objectives for improved undergraduate education and faculty affirmative action are addressed, and that appropriate attention is paid to the evaluation of alternative forms of faculty development and their effectiveness, the Commission offers these four recommendations:

RECOMMENDATION 2: The President of the University of California, the Chancellor of the California State University, and the Chancellor of the California Community Colleges should each establish a process that will lead toward better planning, coordination and evaluation of faculty development in their segments, and will provide to the State more comprehensive and detailed information regarding campus objectives/purposes, needs, and expenditures in this area.

RECOMMENDATION 3: Toward that end, each segment should report to the Commission by January 1, 1989, with a procedure, guidelines, and schedule for initiating a campus planning process to provide for the coordination and evaluation of faculty development and related activities at the campus level. These guidelines should encourage the coordination of various faculty development and related activities through such means as a broadly representative campus-wide committee and the adoption of record-keeping procedures that will enable each segment to report the use of State funds for various campus, system, and State priorities. These guidelines should also encourage the development of evaluation processes with appro-

priate output measures for assessing the effectiveness of campus and segmental faculty development programs.

RECOMMENDATION 4: The California State University should indicate in its January 1, 1989, report to the Commission how it will coordinate planning for, allocating of, and reporting on the $2.5 million for "faculty research, creative and scholarly activities" contained in the 1988-1989 Governor's Budget, if funded.

RECOMMENDATION 5: By December 1, 1989, each segment should provide the Commission with a report that summarizes and comments on these campus plans. In their reports, the State University and the University of California should address the following two policy issues:

a. The effects and feasibility of using a budget ratio as a funding goal for faculty development; and

b. The effects and feasibility of employing a restricted budget line item for funding faculty development.

The purpose of the segments' reports is to provide an information base for the Commission's review of the segments' ongoing expenditures for faculty development and subsequent requests for additional State funds.

In establishing a process for planning at the campus level, the segments should consider recommending that the following information be included in each campus plan:

1. A mission statement that incorporates faculty development goals;
2. A definition of faculty development;
3. An analysis of recruitment and hiring needs and strategies and the ways in which these needs and strategies involve faculty development;
4. A statement of individual faculty needs over the next one to five years;
5. A statement of the needs of the institution over the next one to five years;
6. A statement of how the State priorities of the improvement of undergraduate education and faculty affirmative action will be addressed at the campus and departmental levels;
7. A faculty development strategy aimed at meeting these priorities and needs;
8. An analysis of current decision-making processes for faculty development;
9. An estimate of the resources needed to implement this strategy;
10. A comprehensive accounting system for faculty development expenditures; and
11. Provisions for the evaluation of faculty development programs.

Finally, the Commission offers these proposals to strengthen Community College faculty development:

RECOMMENDATION 6: The State should adopt a budget goal that will raise each Community College's support of staff, faculty, and program development to 2 percent of the College's State and local revenues for the previous budget year (Adopted March 21, 1988).

RECOMMENDATION 7: The State should allocate to each district in fiscal year 1988-89 an amount of funds equal to one-half of 1 percent of the district's State and local revenues during fiscal year 1987-88 for the planning and support of staff, faculty, and program development. These funds should be used to supplement the level of funds spent during fiscal year 1987-88, and a report on these expenditures should be made to the Board of Governors at the end of the fiscal year (Adopted March 21, 1988).

RECOMMENDATION 8: The Board of Governors should develop a funding plan for the support of staff, faculty, and program development in the California Community Colleges that provides:

a. An appropriate institutional matching requirement;

b. A requirement that planning, evaluation, and accountability procedures referred to in the recommendation for segmental planning be adopted at the district and campus levels.

c. A restricted budget line item for staff, faculty, and program development at the district and campus levels; and

d. Appropriate adjustments based on size or geographical considerations.

1 Background of the Report

Origins of the study

The provision for faculty renewal and improvement is a basic tenet of the American educational system. Activities designed to contribute to a staff member's job skills, career opportunities, professional growth, cultural sensitivity, and personal accomplishment are supported in one form or another on virtually every college and university campus in the nation.

These programs -- typically referred to as "faculty development" -- vary considerably among educational systems, institutions, segments, and states, but they all have a common goal of improving the quality of the educational process by enhancing the knowledge, skills, and motivation of educators.

In California, State policy makers seek better information and policy recommendations for making decisions about budget requests from the State's public colleges to support faculty development -- requests that in fiscal year 1986-87 totaled $8.49 million from the University of California, $12.03 million from the California State University, and $10.0 million from the California Community Colleges, according to the Department of Finance. As a result, in the 1986 Budget Act (Item 6420-011-001), the Legislature funded the California Faculty and Staff Development Policy Study in an effort to provide it and the Department of Finance with an overview of existing faculty development emphases in California and other states.

Conduct of the study

The Legislature charged the California Postsecondary Education Commission with overseeing the study, and the Commission retained the consulting firm of Berman, Weiler Associates to conduct the California portion of the project. The consultants drew on information received from a survey by the segmental offices of nearly 5,000 faculty members and campus administrators, and they met frequently with both segmental and campus administrators throughout the study to ensure that the information collected was sensitive to differences in practices among the segments and campuses. The results of their work can be found in three volumes by Berman, Weiler Associates that are available from the Commission under the general title *Exploring Faculty Development in Higher Education* and that consist of the consultants' *Executive Summary and Conclusions (Volume I); Findings (Volume II);* and *Technical Appendices (Volume III).*

The Legislature also directed the Commission to study faculty development policies in other states, "especially those that are innovative and effective," in order to compare California's situation with them. Through a survey of 58 institutions and interviews with state and institutional officials in Florida, New York, and Wisconsin, Commission staff compiled a national overview on faculty development that the Commission has published as *Faculty Development from a State Perspective* (1987) that is also available from the Commission.

Finally, the Commission was charged with reviewing the results of both studies and presenting State policy options for faculty development in light of them. In this policy paper, the Commission responds to that charge.

- Part Two defines faculty development, the purposes it serves, and identifies the principles and types of effective faculty development programs;
- Part Three describes the funding of faculty development programs at public colleges and universities in California and other states; and
- Part Four offers policy recommendations and funding strategies for addressing the faculty development needs of California's institutions.

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The Commission wishes to thank Paul Berman and Daniel Weiler for undertaking their review of facul-

ty development in California, as well as the study's two advisory committees listed below, without whose help the project could not have been completed.

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2 *The Scope of Faculty Development*

ONE important and indispensable principle of educational institutions is that their faculty members serve as models of the type of lifelong learner and communicator they seek to create in their students. As intellectual leaders on campus as well as in the community, the faculty have the responsibility to carry out this role.

The faculty of California's public colleges and universities are strongly committed to fulfilling this responsibility by keeping current in their field and intellectually vital through whatever means are at their disposal, including generous investments of their own time and funds. All faculty are assumed to bring to their assignment the requisite preparation in their discipline, the ability to teach, and a commitment of time and energy to continue to grow with the changes in their profession. This commitment to growth is first and foremost an individual responsibility. Nonetheless, such commitment is not the sole element in a strategy for sustaining a quality faculty. There are imperatives for change that extend beyond the ability of faculty to meet with their own resources. Faculty members require the time, money, equipment, and support services to develop themselves in ways that improve their adaptation to a changing educational environment, and without attending to the provision of these resources, no institution can hope to be effective for long.

Specifically, this investment of resources is imperative for faculty to respond to the varying learning styles and expectations of an increasingly diverse student population, meet the shifting interests and enrollments of students, understand how to use new instructional technologies, keep apprised of new developments in student assessment, improve the curriculum, and strengthen affirmative action. Instructional programs and activities organized to provide these resources are often referred to as "faculty development."

The meaning of "faculty development"

Faculty development refers to college and university activities designed to "renew and maintain the vitality of their staffs" (Centra, 1985, p. 143) and "help faculty members improve their competence as teachers and scholars" (Eble and McKeachie, 1985, p. 1).

As the Commission has noted in *Faculty Development from a State Perspective* (1987, p. 1), examples of faculty development activities include sabbatical leaves, research grants, faculty exchanges, released time for curricular improvement, videotaping of teaching, faculty orientation and retraining, in-service workshops and conferences, and observing other instructors teaching their classes.

Most observers of faculty development activities classify them into four categories:

- *Professional development* that promotes the expertise of faculty members within their primary discipline -- often accomplished through research grants, sabbatical leaves, attendance at professional conferences, and similar discipline-oriented activities.
- *Instructional development* that improves faculty members' ability to teach more effectively -- including videotaping their classes, having other faculty observe their teaching and advise them about it, and attending conferences on teaching.
- *Curriculum development* aimed at evaluating or revising the curriculum -- such as revising an institution's general education requirements and program -- that goes well beyond the normal expectations that professors will periodically revise the courses they teach. These activities generally involve teams of faculty members who spend substantial amounts of time evaluating present programs or planning new sequences of courses.
- *Organizational development* that involves faculty members in improving their institution and its environment for teaching and decision making, such as by evaluating the institution's efforts to retain its minority students, strengthening town-

gown relationships, and preparing a self-study report for accreditation or reaccreditation.

Not included in these institutionally oriented activities are *personal* development, such as aerobics classes, stress management workshops, or personal financial management seminars, and *career* development, such as preparation for a change in careers or seminars on retirement planning.

Purposes of faculty development

Most faculty development activities can be categorized into two major groups in terms of their goals -- improving instruction and increasing knowledge -- and the Commission's consultants used these two purposes for collecting and displaying much of their data about faculty development. In order to form policy recommendations about what purposes should be served by the State's support of faculty development programs, however, discussion must move below this level of abstraction to specify even more clearly the needs to be met by a particular program. The following programs, for example, are directed toward needs that fall under these two categories of improving instruction or increasing knowledge and have the added characteristic of being sufficiently specific so that they can be evaluated as either meeting or not meeting their objectives.

Among those oriented toward improving undergraduate instruction are:

- *Improving instruction for students with diverse learning styles:* Enabling faculty to recognize and adapt to diverse learning styles thereby enabling more students to be successful in college.
- *Improving the faculty's abilities to use new technologies:* Increasing faculty knowledge and skill in the use of computers for improving the productivity and quality of their instructional efforts.
- *Developing new means of student assessment:* Reviewing various assessment modes or instruments and recommending changes.

Programs oriented more toward increasing knowledge are the following:

- *Retraining faculty for teaching in a related field:* Using more fully the services of tenured faculty members in fields with dwindling enrollments.
- *Affirmative action development:* Providing release time and resources for the support of faculty research to enable women and minority faculty to qualify for advancement to the higher ranks in the faculty.

The goals of individual faculty members for participating in faculty development activities are virtually self-evident: better preparation in their discipline, greater facility in instructing and counseling students, improvement of course content, and the like. But a number of faculty development objectives are appropriately institution-wide -- for example, curriculum reform, improved methods of student assessment, and the promotion of critical thinking or writing across the curriculum -- and can benefit from an institution-wide strategy for their implementation rather than through individual activities.

Perhaps the most common misconception of faculty development is that its goal is *remediation* of faculty inadequacies rather than the improvement of role performance of already skilled and capable professionals by sharpening and extending their expertise. For example, the vice chancellor of an internationally renowned university contends that it does not undertake "faculty development" -- despite the fact that it is cited in national publications as a leader in its provision of an instructional resource center for its faculty, provides at least an average level of sabbatical leaves for its faculty and is well-known for its intensive self-studies and curricular reforms -- because the vice chancellor believes that its faculty do not need "development." Similarly, some state officials may misinterpret institutional requests for faculty development funds as correcting deficiencies in their faculty's instructional skills. Such attitudes that faculty development programs address faculty deficiencies rather than extend professional knowledge and skills are not, however, widespread.

Extent of faculty development activities

The types of activities that faculty members engage in for professional growth range from private study to extended research projects, and from attendance at professional conferences to departmental curriculum development. Some categories used to analyze faculty development occasionally refer to increments of time for developmental activities -- such as sab-

batical leaves, release or assigned time, or flexible calendars -- while other classifications refer to program titles -- "Academic Improvement Program" or "Fund for Instructional Improvement" -- and to line-item expenditures such as travel grants. The range of activities that may serve developmental purposes is broad, and in most cases the purpose of faculty development programs are a better basis for State funding and policy decisions than particular activities, which are only means to an end.

To find out the extent of faculty development activities in California's public colleges and universities, for the purposes of this project the Commission defined faculty development as "any activity that is intended partly or primarily to prepare paid staff members for improved performance in present or possible future roles in higher education." This definition implicitly relates faculty members' development to their assigned roles within their institutions. Because of limitations of time and funds, the Commission and its consultants agreed to focus primarily on the role of faculty in undergraduate instruction, with the primary objective of faculty development in this research effort being the improvement of undergraduate instruction. The research by Berman, Weiler Associates was designed to provide information on the extent to which purposefully designed faculty development activities occur, what types of activities these are, and what resources are used for this purpose.*

Displays 1, 2, and 3 on the following pages depict the findings of Berman, Weiler Associates regarding faculty participation in development activities. As can be seen, seminars and workshops along with studying specialized professional development materials represent the major faculty development activities in all three segments. Curriculum development also generates a great deal of participation. Overall, a wide variety of faculty development opportunities exist in all three segments.

DISPLAY 1 California Community College Full-Time Faculty Participation in Instruction-Related Development Activities, Academic Year 1985-86

Type of Activity	Estimated Percent Engaged in Each Activity
Participating in off-campus conferences and seminars contributing to professional development	69%
Studying specialized professional development materials (articles, training videos)	65
Developing or teaching experimental or new courses and curricula	50
Participating in on-campus conferences and seminars contributing to professional development	49
Attending off-campus course for professional development	30
Observation of peer's classes	26
Attending on-campus course for professional development	20
Direct assistance from professional development specialists	17
Videotaping of own teaching	14
Attending summer institute	9
Mentoring other faculty	8
Having a faculty mentor	6
Other	12

Source: Berman and Weiler, 1987b, p. 94.

*The Berman, Weiler study was limited to full-time tenured faculty in order to make maximum use of the project's relatively small budget, despite the fact that the Commission believes a more inclusive faculty development policy should be adopted by institutions. In addition, definitional problems relating to the different functions of the three segments and to their different staffing patterns resulted in information that is not entirely comparable among and between the segments. Specifically, the University of California objected to including research as a faculty development activity because research is an assigned activity of the University's faculty responsibilities. Therefore, data for the University in Display 3 are incompatible with those for the Community Colleges and State University in Displays 1 and 2.

Scheduling of development activities

In each segment of public higher education, the State underwrites an instructional workload that provides preparation time for class lectures and, presumably, time for faculty development. Berman,

DISPLAY 2 California State University Full-Time Faculty Participation in Instruction-Related Development Activities, Academic Year 1985-86

Type of Activity	Estimated Percent Engaged in Each Activity
Participating in off-campus conferences and seminars contributing to professional development	74%
Studying specialized professional development materials (articles, training videos)	51
Developing or teaching experimental or new courses and curricula	51
Participating in on-campus conferences and seminars contributing to professional development	48
Attending off-campus course for professional development	19
Observation of peer's classes	18
Attending on-campus course for professional development	16
Direct assistance from professional development specialists	13
Videotaping of own teaching	8
Mentoring other faculty	11
Attending summer institute	7
Having a faculty mentor	1
Other	17

Source: Berman and Weiler, 1987b, p. 66.

DISPLAY 3 University of California Full-Time Faculty Participation in Instruction-Related Development Activities, Academic Year 1985-86

Type of Activity	Estimated Percent Engaged in Each Activity
Studying specialized professional development materials (articles, training videos)	36%
Developing or teaching experimental or new courses and curricula	33
Observation of peer's classes	20
Participating in off-campus conferences and seminars contributing to professional development	19
Participating in on-campus conferences and seminars contributing to professional development	14
Direct assistance from professional development specialists	7
Videotaping of own teaching	6
Attending on-campus course for professional development	6
Mentoring other faculty	5
Attending off-campus course for professional development	3
Attending summer institute	2
Having a faculty mentor	1
Other	7

Source: Berman and Weiler, 1987b, p. 39.

Weiler report that faculty in all three segments assign "reduction of teaching load" one of their highest priorities for the expenditure of additional faculty development funds.

The instructional load that faculty members are assigned has a direct impact on their participation in development opportunities. Planning faculty development during compensated time must take workload into account. For example, Community College faculty workload consists of 15 weekly faculty contact hours and this workload realistically represents more than 40 hours of work per week. Not much time is left for these faculty members during their compensated work week for faculty development. However, with 175 academic workdays per year, Community College faculty have some flexibility in setting days aside for faculty development during compensated time.

According to their contract, State University faculty are able to use three of their 15 units of workload on development, among other activities. The hours per week represented by these three units are often de-

voted to student advising and community service and thus are rarely available for faculty development activities.

Faculty at the University of California have great flexibility with regard to faculty development during compensated time. To the extent that their research activity results in their improved instruction, assists them in maintaining currency in their disciplines, or contributes to curriculum development, it must be counted as faculty development.

Periods when instruction is not being offered, such as summer vacation, present rich opportunities for a variety of faculty development activities, despite the fact that most faculty do not have a contractual obligation to participate in faculty development during non-compensated time. Thus Berman, Weiler found that in 1985-86, California Community College and State University faculty spent an average of 13 hours per week and 22 hours per week, respectively, during the summer on research-related activities, versus 10 and 13 hours per week during the academic year (1987b, pp. 71, 99). Clearly faculty use the summer months for development opportunities that would be difficult to schedule during the academic year.

California Community Colleges have a unique opportunity for faculty development in their Flexible Calendar Program, which was established in the *Education Code* in 1982 and which allows them to set aside up to 15 days during the academic year for specific faculty development purposes. This program has at least three important characteristics:

1. Faculty participate during compensated time.
2. Every Community College in the system can implement the program at no additional cost to the State.
3. By bringing the campus community together, the program promotes institutional cohesiveness and encourages comprehensive institution-wide planning.

Nonetheless, the Flexible Calendar Program is underutilized. As of fiscal year 1987-88, only 26 of the 106 colleges have implemented it. Planning proposals for future funding of faculty development in the Community Colleges should take this underutilization into consideration.

Examples of special development activities

Three types of programs deserve particular attention in any review of faculty development in California -- (1) sabbatical leaves, (2) affirmative action, and (3) research.

Sabbatical leaves

Sabbatical leaves have a long tradition as the major form of faculty development in higher education since before the turn of the century. Sabbaticals are intended to provide opportunity for extended research and for enhancing faculty members' currency and competency in their fields of expertise. In teaching-oriented institutions, they may also be used for curriculum preparation or activities that help to improve the instruction of the faculty member.

Under a fully-funded leave program, eligible faculty are provided a sabbatical leave every seven years over the course of their careers. Typically, the sabbatical leave provides a faculty member with a paid leave from teaching -- usually full salary for a leave of one term and half salary for a full year's leave. Sabbatical leaves generally do not provide resources beyond compensated time away from campus for research or instructional purposes. Efforts are often made to award a sabbatical in connection with another grant that a faculty member may have received, in which case resources are often limited to the amount a faculty member would normally earn at their institution.

In California, the three segments of higher education vary considerably in their policies governing sabbatical leaves. In nearly every area -- purposes for which leaves may be granted, funding level, replacement strategies, accountability measures, and proportion of eligible faculty served -- the segments have different practices as follows:

California Community Colleges: Sabbatical-leave policies and practices are determined and managed at the district level in the Community Colleges. Sabbatical-leave policy is generally a subject of collective bargaining negotiations; thus practices vary from district to district throughout the State.

As one illustration, the Los Angeles Community College District with nine separate institutions has no cap on the number of sabbatical leaves that may be taken in a given year. Each year, between 400 and

500 faculty are eligible, and approximately 80 faculty (or between 16 and 20 percent) are awarded sabbatical leaves. It budgets $200,000 annually for replacement costs, and this amount is generally not completely used. Faculty generally underutilize the sabbatical leave, the district reports, primarily because of low salaries.

Faculty on semester leave as well as those on a year's leave receive half salary for the period of time they are on leave. Hourly-rate faculty are used for replacement in most cases, unless there are special circumstances. The district offers three types of sabbatical leaves: study leaves, travel leaves, and independent study. Study and travel leaves are awarded by district committees, and the recipients are required to show units earned on a study sabbatical and to "keep in touch" on a travel sabbatical. For independent study sabbaticals, faculty are required to deliver a product or a report on the use of their time.

Policies and practices at Yuba College -- a small rural Community College -- are significantly different. One percent of the faculty may take a leave each year. Faculty who take year-long sabbaticals receive 70 percent of their annual salary, while those that take one semester leaves receive 90 percent of their semester salary. The college budgets $50,000 annually for sabbatical leave replacement expenses. Part-time faculty are generally used for replacement unless it is deemed detrimental to the program. On returning from sabbatical leave, faculty are required to make a formal report to the academic senate.

The California State University: Sabbatical leaves at the State University are considered to be a faculty development activity and are used for a variety of purposes consonant with that policy orientation. Policy governing the awarding of sabbatical leaves for all 19 campuses in the system is established at the systemwide level but the purposes for which leaves are awarded and the accountability procedures for sabbatical leaves are determined and managed at the campus level.

Faculty on semester leave receive full salary, and those on a year's leave receive half salary. The State University has a system-wide budget line item for sabbatical leaves that provides funding for temporary replacements for professors and librarians on leave. The replacement cost is budgeted at the third lowest step on the Assistant Professor salary range.

Approximately 5,000 of the State University's full-time faculty were eligible for sabbatical leaves in 1987-1988. Of that number, some 8 percent were awarded sabbatical leaves. In order to achieve the goal of sending every full-time faculty member on a sabbatical every seventh year, the State University would need to award leaves annually to about 13 percent of its full-time faculty at an annual cost of approximately $24 million.

University of California: Sabbatical leaves in the University of California are a privilege, not a right. They are intended to enable faculty members to engage in intensive research and to enhance their service to the University. Only regular ladder-rank faculty are eligible for sabbaticals, but no limits exist on the number of these faculty who may take a sabbatical.

Six quarters of service makes a faculty member eligible to apply for one quarter of leave at two-thirds pay; nine quarters of service equates to one quarter of leave at full pay; and 18 quarters of service equates to up to three quarters of leave at two-thirds pay. Replacement costs are covered by the department. Courses are either reassigned or deferred while faculty members are on leave, or visiting faculty are hired to teach them.

Faculty apply to their department chair for sabbatical leave by submitting a plan that outlines what they will do with the time and where they will go.

Faculty are required to write a written report when they return from a sabbatical, and submit it to their department chair, who then forwards it to the faculty member's permanent personnel file.

At most, one-seventh of the faculty can take a sabbatical leave each year. Many, however, do not participate in the program, primarily because of campus or family responsibilities and the requirements of their research.

Affirmative action programs

Faculty affirmative action programs stand apart from most other faculty development programs because they are targeted at particular groups and they emphasize individual professional development primarily for promotion and tenure purposes. By and large, these programs are administered separately from other faculty development programs in

each segment. For these reasons, Berman, Weiler Associates collected and reported information on these programs separately for each segment.

Data on Community College faculty affirmative action programs were unavailable to Berman, Weiler; but the State University reported that it spent approximately $1.1 million during fiscal year 1985-86 on affirmative action programs such as its Affirmative Action Faculty Development Program, which funds faculty leaves, mini-grants, and travel, and its Affirmative Action Faculty Development Educational Equity Awards Program, which provides grants to faculty for research or curriculum development designed to improve educational equity through teaching and curricula that are sensitive to minority issues. That same year, the University of California spent approximately $1.2 million on its affirmative action programs, including its Faculty Career Development Program that seeks to enhance the career development of beginning ladder-rank minority and women faculty through support that helps them to complete research needed to obtain tenure.

Given the great cultural diversity California is currently experiencing, the underrepresentation of women and minorities in the faculty ranks, the "greying" of the faculty in all three segments of public higher education in California, and the small number of women and minority students pursuing graduate degrees that would enable them to move into the faculty ranks, the need for affirmative action-oriented faculty development is obvious. Programs such as those mentioned here clearly address the concern of improving undergraduate instruction by providing support for women and minority faculty members as they establish themselves in the institutions and begin to sensitize currently employed faculty members to the special needs of an increasingly diverse student population.

Research

Does the scholarly research of faculty members aid them in improving their undergraduate instruction? This question is of special concern to all engaged in faculty development policy and its implementation. Two specific questions with State policy implications arise from the findings of the Berman, Weiler study:

1. What is meant by the term *research* in each of California's three segments of public higher education?
2. Is "doing research" necessary to "keeping current in one's discipline?"

A review of the use of the term *research* in the three segments shows that the term covers a wide diversity of activities. In different contexts and segments it can mean basic or applied research in one's discipline, scholarly or creative activity, or institutional research and research on the instructional-learning process.

Regarding the question of whether research is necessary to "keeping current in one's field," Berman, Weiler found that, by a wide margin, the largest proportion of faculty in both the State University and the Community Colleges believe that more emphasis in faculty development should be placed on research-related development (1987b, p. 61) and that State University faculty regard research as more necessary to their development than do Community College faculty (op. cit., Table VII.3, p.110).

The relationship between research, instruction, and faculty development in the State University is a strongly integrated one. In part, the Commission for the Review of the Master Plan recognized this in stating that

> Research, scholarship and creative activity in support of the undergraduate and graduate instructional mission is authorized in the California State University, and shall be supported by the State (1987, p. 11).

In its proposed budget for 1988-89, the State University further confirmed this relationship in its request for State funding for "research, scholarship and creative activity," by referring to these proposed activities as "one additional aspect of faculty development . . . ." It identified one portion of its proposal that would provide "leaves of one term duration to develop or complete an appropriate activity related to their academic discipline" as a reinstatement of "one of the most successful faculty development programs ever instituted in The California State University."

In response to the State University's request, the Governor included a line item of $2.5 million for this

type of program in his 1988-89 budget. His inclusion of this specific line item for research in the State University establishes a precedent, although "research . . . consistent with the primary function (i.e., instruction) of the state colleges" was authorized by statutes enacting certain provisions of the 1960 Master Plan.

In part, because the University of California maintained that no aspect of its research activities should be reported as faculty development during Berman, Weiler's survey of its development activities, the issue of whether research contributes to instructional quality was raised by Berman, Weiler but, as far as it affected the University, it was not resolved. The Commission discussed the issue at some length in an earlier report on research in the University (1987, p. 15), in which it identified both the positive and negative effects of research on undergraduate instruction.

Certain by-products of research activity, such as keeping current with one's field, gaining new knowledge that has immediate applicability to the curriculum, and access to resources to attend professional meetings and add new equipment to the laboratory, obviously contribute to faculty members' instructional capabilities. Because none of these benefits were covered in Berman, Weiler's survey of the University, Berman, Weiler state that their description of instruction-related faculty development at the University "may understate matters." From the State's perspective, the segments of higher education should be as direct as possible about the relationship of instruction, research, and faculty development.

Standards for effective faculty development

Faculty development efforts can be evaluated for their effectiveness at two levels of analysis -- program planning and program objectives -- even if at a third and most desirable level -- the impact of development activities on instruction -- little research has been able to trace its effects on the learning of students.

Standards exist for the evaluation of the effectiveness of faculty development programs at the planning level as a result of professional experience and the distillation of research on effective programs. In *Faculty Development from a State Perspective*, Commission staff presented the following summary of standards (p. 13):

1. Encouragement of opportunities for continued professional growth must rank high on an institution's list of priorities.
2. An institution-wide plan for this growth is essential.
3. The plan should respond to the perceived needs of faculty in achieving institutional priorities.
4. Planning should reflect the benefits of faculty development to students, faculty, the institution, and society.
5. Planning should be based on the understanding that the faculty have different needs at different stages of their career.
6. Planning should provide for a multi-faceted program, including professional, instructional, curriculum, and institutional development.
7. Planning for specific programs must involve participants throughout the process, from beginning stages through evaluation.
8. Only the most exemplary training activities should be implemented.

Much of the literature on faculty development programs stresses that they must be designed close to the participants with very clear purposes in mind. A correlative requirement is that institutions should have the flexibility to design their programs based on their mission and needs. State policy should ensure not only that this provision is made, but that the planning process outlined in the summary above is also taking place.

Standards for evaluating programs at the program objective level must be developed in conjunction with planning the programs. For example, an affirmative action program designed to retain and promote qualified women and minority professors should have program objectives that are reasonable and acceptable measures of success. Even if increased instructional effectiveness of those professors in the program may not be one of these measures, the proportion of faculty in the program who are retained and promoted is an appropriate standard of its effectiveness.

The impact of faculty development is most easily measured when the mission of the institution is clear and the role of faculty members in achieving that mission is clearly articulated. "Improved performance" implies a clarity of institutional goals, a consciousness of the individual's relationship to those goals, and a knowledge of how to enhance the achieving of those goals. But the lack of means for assessing the impact of faculty development on the learning of students should not hinder the evaluation of programs in other ways. The survey by Berman, Weiler Associates of faculty development activities in the three segments found that little planning and evaluation at any level is occurring, and that existing programs -- particularly those that are instruction-related -- are largely a peripheral activity on many campuses. The level of State funding of these programs requires more attention both to their planning and their evaluation.

3 State Policies and Support for Faculty Development

THE definition and description of faculty development activities and the estimates of investment of faculty time in these activities, which were the subject of Part Two, are all preliminary to the fundamental questions of this report: What faculty development activities should the State support, and how should it allocate this support? Answers to these questions are necessary because the State must direct its limited funds to support the faculty of its colleges and universities in as effective a manner as possible.

Current sources of support

Significant differences exist among California's three segments of public higher education in campus reporting of expenditures for activities defined as "faculty development." In part, according to Berman, Weiler, the differences occur as a result of definitional problems and, in part, as a result of the difficulty of tracking the expenditures of funds at the school and divisional levels at the University of California.

Nonetheless, Displays 4 through 7 summarize the findings of Berman, Weiler regarding the major sources of support for faculty development. These displays show that the State contributes slightly more than half of the investment in faculty development across the three segments, while individual faculty contribute somewhat less than one-tenth of the total (Display 4).

The Community College figures in Display 5 at the right are based on a sample of 62 campuses and cover both instruction- and research-related expenditures, sabbaticals, and also travel expenditures, which are allocated at the divisional level in most institutions.

The California State University figures in Display 6 also cover both instruction- and research-related

DISPLAY 4 Sources of Support for Faculty Development in All Three Segments of California Public Higher Education, 1985-86 (Dollars in Thousands)

Source	Amount	Percent
Individual faculty	$6,423	8.4%
State and district funds[a]	41,874	54.4
Other funds	28,642	37.2
Total investment[b]	$76,939	100.0%

a. State funds exclude State agency grants and contracts, which because they are "soft money" are included in "Other funds" for purposes of State policy discussion.

b. The estimated total investment for each segment is calculated by combining Berman, Weiler's estimates of programmatic expenditures for each segment in fiscal year 1985-86 with estimates of expenditures for off-campus activities developed from faculty surveys covering the period March 31, 1986 to April 1, 1987. Possible overlap between the two estimates was reduced by deleting the estimate of segmental funds expended for off-campus activities when combining the two tables. While the reporting periods for programmatic expenditures and for off-campus activities expenditures are not co-incident, they overlap and provide a reasonable estimate of total investment when combined.

Source: Berman and Weiler, 1987b.

DISPLAY 5 Sources of Support for California Community College Faculty Development, 1985-86 (Dollars in Thousands)

Source	Amount	Percent
Individual faculty	$2,386	12.7%
State and district funds[a]	15,300	81.4
Other funds	1,118	5.9
Total investment[b]	$18,804	100.0%

a and b: See notes to Display 4 above.

Source: Berman and Weiler, 1987b, pp. 87 and 91.

DISPLAY 6 Sources of Support for California State University Faculty Development, 1985-86 (Dollars in Thousands)

Source	Amount	Percent
Individual faculty	$3,705	7.7%
State funds[a]	21,574	44.6
Includes:		
System level expenditures totaling	13,974	
• Sabbatical leaves	7,100	
• Affirmative action	900	
• Meritorious performance and professional promise awards	4,700	
• Summer institutes and conferences	174	
• Miscellaneous programs	1,100	
Other campus level expenditures	7,600	
Other funds	23,090	47.7
Total investment[b]	$48,369	100.0%

a and b: See notes to Display 4 on page 15.

Source: Berman and Weiler, 1987b, pp. 53, 58 and 63.

DISPLAY 7 Sources of Support for University of California Faculty Development, 1985-86 (Dollars in Thousands)

Source	Amount	Percent
Individual faculty	$332	3.4%
State funds[a c]	5,000	51.2
Other funds	4,434	45.4
Total investment[b]	$9,766	100.0%

a and b: See notes for Display 4 on page 15.

c: Includes affirmative action expenditures.

Note: The University of California does not consider research or sabbaticals to be faculty development activities.

Source: Berman and Weiler, 1987b, pp. 32 and 35.

expenditures, sabbaticals, and travel expenditures allocated at the department and school levels.

The University of California figures in Display 7 are underreported, due to the lack of estimates of the amount of discretionary resources allocated at the department and school levels. These figures also cover instruction-related expenditures only and exclude all forms of research and sabbaticals.

State funding patterns also show that faculty carry a larger share of the costs of off-campus faculty development activities than the State carries (Display 8). Both for research-related and for instruction-related activities, the faculty pay more dollars "out-of-pocket" than the State provides in budgetary support. The most extreme case of this pattern is found in the Community Colleges, where faculty spend nearly three dollars for every dollar that the State provides for off-campus research-related activities.

In sum, the State currently supports slightly more than half of the investment in faculty development in all three segments, and the State spends considerably less for off-campus faculty development activities than the faculty do out of their personal funds.

Institutional decisions about the use of State funds

For the most part, the current emphasis on research in the allocation of California State dollars for faculty development is the result of institutional decisions rather than those of the Legislature or even the segmental governing boards. Institutions not only decide how to spend faculty development dollars but whether to spend their institutional dollars on faculty development at all (Berman, Weiler, 1987b, p. 51). Variations in the level of priority faculty development receives range widely among institutions and, most likely, varies almost as widely among departments, divisions, and schools on individual campuses, although this information was not feasible to collect (op. cit., pp. 27, 54, and 85).

While the details of these variations were not reported on a campus-by-campus basis by Berman, Weiler, the Commission determined from random analyses of individual institutional survey returns that the higher expenditures were not all State funds. As may be expected, a number of these institutions had grants from federal or private sources that contributed to their overall resources for faculty development. Such high levels of funding are concrete results of an institution's priorities, its decision to spend State funds for this purpose, and the initiative to seek ex-

DISPLAY 8 State Support Compared to Faculty Personal Funds Spent for Off-Campus Faculty Development Activities

Source of Fund	California Community Colleges	The California State University	University of California
Research Funds			
State Funds	$238,000	$1,694,000	n/a
Personal Funds	697,000	3,331,000	n/a
Ratio of Personal to State Funds	2.93:1	1.95:1	n/a
Instructional Development Funds			
State Funds	180,000	308,000	$259,000
Personal Funds	272,000	462,000	332,000
Ratio of Personal to State Funds	1.43:1	1.50:1	1.28:1

Source: California Postsecondary Education Commission.

tramural funding that can be used for faculty development.

Berman, Weiler report that "the scope and depth" of the faculty development programs they found across the State "were often severely limited, . . . and faculty access to funding support and program services was often restricted by resource limitations or poor program planning." The close relationship of resource limitations and poor program planning is a crucial combination of elements to address through State policy; however, the first step in dealing with this matter must be taken at the segmental and institutional levels. From the findings of the study, it is clear that each institution's administrative and faculty leadership have a critical role to play in establishing faculty development as an *institutional* priority, in providing comprehensive program planning, in allocating available institutional funds to faculty development, and in seeking non-State funds to complement State support.

Berman and Weiler report that "overall, current faculty development programs do not play a major role in improving undergraduate education at any of the segments" (ibid.). They suggest that five conditions need to exist in order for such programs to have this desired impact: (1) the programs must be effective, (2) they must reach faculty members who can benefit most from the services, (3) faculty must be motivated to participate, (4) a high priority must be given to the improvement of instruction, and (5) development activities must be adequately funded. ***All five of these conditions depend strongly on active campus leadership both from the highest administrative officers and from the faculty.*** Comparable institutions in other states that are characterized by effective faculty development programs in terms of the criteria listed on page 9 above have recruited well-regarded senior professors to lead their programs. Their combination of senior faculty leadership and comprehensive planning address the first four of these five conditions directly.

Alternatives for State support

Although information from Berman, Weiler shows that California's colleges and universities have discretionary resources to direct toward faculty development and that a number of them support extensive development activities solely from their State-funded budget, there is strong evidence that at least the California Community Colleges and the California State University need additional resources from the State for these activities.

A number of alternatives may be used for allocating State funds to institutions for faculty development

purposes. In the course of the Commission's survey of practices in other states, it encountered several approaches that were briefly mentioned in its report, *Faculty Development From A State Perspective*, and that deserve discussion here as an introduction to the Commission's recommendations in Part Four.

1. *Institutional and individual grant programs*

The Faculty Retraining and Development Program in the University of Wisconsin is an example of an institutional and individual grant program in that it involves both a campus planning effort and individual faculty grant proposals. Under this program, Wisconsin's Board of Regents require each institution to prepare a two-year plan for faculty development to meet its mission requirements and academic program needs. A systemwide committee then reviews individual grant applications forwarded to the committee by the institution and grants funds on a competitive basis to those individuals whose proposals meet both statewide and institutional priorities. The grant is made through the institution which is required to match the grant funds on a 2:1 basis.

Advantages: The process is competitive, thus making the best use of limited funds. The institutional planning requirement, together with the requirement that the individual grant proposal be submitted through the institution, ensures that the grants reflect and support institutional priorities. The requirement that the institution provide matching funds provides a certain level of institutional commitment to the faculty member's program.

Disadvantages: The two-step planning and competitive process involves considerable administrative and committee time, and the individual grant does not provide for continuation of support or follow-up unless the institution makes provisions for it.

2. *Special needs faculty grant programs*

New Jersey has funded an extensive list of narrowly-targeted competitive grant programs, each of which serves a particular curriculum area that the state has identified as having a priority need, such as humanities, mathematics, computers, international education and foreign languages, and technical/engineering education. In addition, the state provides grants for "faculty enhancement" that include support for five scholarly chairs, faculty and staff retraining and renewal, and a minority faculty loan redemption program.

Advantage: This special needs approach directs state funds with some precision to individuals who have demonstrated through a competitive review process that they can use the funds appropriately in specific areas.

Disadvantage: The apparent lack of a requirement for an institutional planning process and matching funds may diminish the extent to which the institution as a whole becomes involved in the support and follow-up of these development efforts. Such institutional commitment is generally necessary for long-range effectiveness of these programs.

3. *The restricted budget line-item approach*

Since 1973, Florida's approach to funding community college staff and program development requires each college to allocate from its current operations resources "an amount equal to not less than 2 percent of the previous year's allocation from the state community college program fund for the purpose of funding staff and program development activities." Administrative rules set the boundaries for expenditure of these funds, but within these general boundaries the colleges have some flexibility for spending their resources. Five-year goals that are reviewed annually are required of each college, and each year the colleges are required to submit financial reports and activity analyses of how they have spent the funds.

Advantages: Under this approach, institutions have a stable base of funding with which to plan long range for a coherent staff and faculty development program. Specific financial reports and evaluations provide current information to state administrators and legislators on exactly how the money is spent and how successful the activity has been.

Disadvantages: The restricted budget account amounts to state intervention into the management of the institution at a fairly specific level of detail. In addition, the policy appears to provide too small an allocation for small rural campuses.

4. *A budget ratio approach*

From the Commission's perspective, an especially effective funding practice used in other states is that of setting aside a proportion of an institution's budget for faculty development. Based on evidence from several states, the Commission believes that California should consider three different options of this approach for supporting faculty development activities:

First Option: The State might allocate for faculty development an amount equal to 2 percent of institutional or segmental operating budgets from the previous year.

This option stems from the Florida approach discussed above, but in contrast to the Florida policy, this option would provide for calculating the faculty development budget on the total current operations budget of the previous year, and not just the State's appropriations. The rationale for using the total budget is that it is the total educational program, not just the State-funded portion that is provided by the faculty. A wide range of program activities and goals appropriate to the missions of the segments are supported by sources of funds other than the State, particularly in the State's universities compared to the Community Colleges; but this difference between the segments would be accommodated by such a standard. The fixed portion of the budget would allow institutions to plan from year to year, thus providing more continuity and stability to the development program, and placing restrictions on the use of these funds in Administrative Rules protects the funds from undue competition from within the institutions.

An application of this first option to the Community Colleges and State University would result in the State support shown in Display 9, based on expenditures reported by these segments for the year 1985-86.

Second Option: The State might allocate for faculty development an amount equal to 2 percent of the previous year's State appropriations for the institution or segment.

This budget goal is tied directly to the total amount of dollars provided by the State to an institution or segment. Its rationale is that basing State support for faculty development on State funding reflects the level of the State's commitment to the budget as a whole and does not fluctuate with a temporary increase or decline in funds from other sources.

DISPLAY 9 Application of the First Option to Actual Investment for Faculty Development in the California Community Colleges and the California State University, 1985-86

	California Community Colleges	The California State University
Actual 1985-86 Investment	$16,100,000	$20,400,000
Option 1 Total	$36,328,100	$38,291,160
Relationship to Actual 1985-86 Investment	+$20,228,100	+$17,891,160
Percentage Difference	+126%	+88%

Source: California Postsecondary Education Commission.

A number of states surveyed during the course of the Commission's research indicated that they budget their faculty development funds with a strong expectation (implied if not always explicit) that institutions will use the budgeted amount as seed money for attracting other sources of support. This second option carries with it the strong implication that other sources of segmental and institutional funds should be looked to as partial support for faculty development as well.

An application of this option to the Community Colleges and State University results in the figures shown in Display 10.

Third Option: The State might allocate for faculty development an amount equal to 5 percent of the previous year's expenditures for faculty salaries at an institution or segment.

A budget goal based upon faculty salaries would relate the faculty development budget directly to the size of the instructional staff. Thus the number and seniority of the staff (both of which affect the need for faculty development) would tend to drive the budgeted amount of State dollars.

DISPLAY 10 Application of the Second Option to Actual Investment for Faculty Development in the California Community Colleges and the California State University, 1985-86

	California Community Colleges	The California State University
Actual 1985-86 Investment	$16,100,000	$20,400,000
Option 2 Total	$23,653,660	$30,114,520
Relationship to Actual 1985-86 Investment	+$7,553,660	+$9,714,520
Percentage Difference	+47%	+47%

Source: California Postsecondary Education Commission.

DISPLAY 11 Application of the Third Option to Actual Investment for Faculty Development in the California Community Colleges and the California State University, 1985-86

	California Community Colleges	The California State University
Actual 1985-86 Investment	$16,100,000	$20,400,000
Option 3 Total	$25,789,207[1]	$23,943,241[2]
Relationship to Actual 1985-86 Investment	+$9,689,207	+$3,583,241
Percentage Difference	+60%	+18%

1. Calculated by using the number of full time teaching faculty (BWA Vol. III, Table IV.1) multiplied by the Average All-Ranks Faculty Salary (CSU $45,820) for 1985-1986 (CPEC 85-43, page 11) multiplied by 5 percent.
2. Calculated by using the number of full time teaching faculty (BWA Vol. III, Table I.1) multiplied by the Average All-Ranks Faculty Salary (CCC $36,203) for 1985-1986 (CPEC 86-26, page 2) multiplied by 5 percent.

Source: California Postsecondary Education Commission.

The Florida Community College System used a 3 percent level of funding tied to faculty salaries until 1973 when "total state appropriations" became the base upon which its present calculation is made. Since a 3 percent level for California would result in totals that are significantly less than its 1985-1986 funding level, the Commission provides an alternative calculation at 5 percent in Display 11.

In the recommendations that follow in Part Four, the Commission suggests using the budget ratio and restricted budget line-item approaches for funding the Community Colleges and also suggests that the State University examine the effects and feasibility of using these approaches as well. When this budgeting and funding procedure is combined with comprehensive program planning, colleges and universities are able to plan over multi-year periods. This provision of a stable funding environment is not found in either the institutional and individualgrant program approach or the special needs faculty grant program approach, and its lack can contribute to the absence of evaluation and follow-up efforts so characteristic of one-time ad hoc activities. Standards of program planning, evaluation, and follow-up are strongly emphasized in the literature on effective faculty development programs and should be encouraged and supported through funding mechanisms whenever feasible. For this reason, the Commission favors the budget ratio/restricted budget line-item approach.

4 Summary, Conclusions and Recommendations

Summary

Through the 1986 Budget Act, the Legislature directed the Commission to undertake a descriptive study of faculty development programs in California's public colleges and universities in order -- according to the Commission's April 1986 proposal for the study -- to clarify State policy and improve State decision making about faculty and staff development programs that have "a common goal of improving the quality of instruction by enhancing the knowledge, skills, and motivation of educators and those who serve students in other ways." To illustrate the need for the study, the Commission reported that for the 1986-87 fiscal year, the segments were requesting more than $30 million in additional State support for faculty development purposes: $8.5 million for the University of California; $12.0 million for the California State University, and $10.0 million for the California Community Colleges.

Over the past year and a half, the Commission has studied faculty development programs both in other states and, with the help of consultants, in California's public colleges and universities. Issues of definition and purpose have dominated the project throughout this time and colored its findings.

Definition of faculty development

As noted in Part One, *faculty development* refers to college and university activities designed to "help faculty members improve their competence as teachers and scholars" (Eble and McKeachie, 1985, p. 1). Within the scope of this definition, the literature on faculty development often includes the related areas of curriculum development and organizational or institutional development.

To facilitate the collection of data on activities and expenditures, the Commission's consultants -- Berman, Weiler Associates -- divided the realm of faculty development into two sub-categories: (1) activities aimed at improving scholarship, enhancing research skills, contributing knowledge to a field, learning a new discipline, or keeping current in a disciplinary area; and (2) classroom-related activities aimed at improving teaching skills or skills in student assessment or advising, including understanding student learning differences, course planning and organization, instructional methods, and use of technology in the classroom. The consultants included curriculum and organizational development activities only insofar as they contributed to the increase of knowledge and the improvement of instruction as defined above (Berman, Weiler Associates, 1987b, p. 12).

Throughout the study, the relationship of faculty research to faculty development posed a major definitional problem. Some institutions, such as the University of California, consider faculty research as an enterprise separate from faculty development -- an activity in which contributing knowledge to one's field of study is an end in itself as a basic faculty responsibility. On the other hand, research is also a major way for faculty to keep current in their disciplinary area for the purpose of enhancing their teaching. When research is conducted by teaching faculty, the separation of its co-benefits is virtually impossible.

The Commission's compromise, at the request of the universities, was to omit from its study any data on research or sabbaticals in its survey of the University of California but to include such data for the State University. In retrospect, this compromise was unsatisfactory because it resulted in understating the resources available to faculty of the University and possibly overstating those available to State University faculty in enhancing their instruction. As a result, the Commission believes that in future planning for faculty development, both segments should seek evidence in some detail of the contribution of faculty research to the improvement of instruction.

Purposes of faculty development

Faculty development is acknowledged to be a means toward the end of providing a better education for students than would be possible without such support. A major problem in providing this support is the difficulty in determining whether the resources make any essential difference in the quality of students' learning. Even if it is impossible to prove that certain faculty activities result in particular student learning, the development of clear purposes or objectives for faculty development programs can help ensure that individual and institutional resources are directed toward the highest priority needs and are effective in meeting those needs. As the Commission noted on page 6 above, it believes that State-funded faculty development programs should reflect these five priorities or purposes:

1. Improving instruction for students with diverse learning styles;
2. Improving the faculty's abilities to use new technologies;
3. Developing new means of student assessment;
4. Retraining faculty for teaching in a related field; and
5. Providing release time and other support for women and minority faculty for scholarly activity.

Faculty development programs in California's public colleges and universities do not consistently identify such specific purposes. In fact, only with some difficulty has it been possible for the Commission's consultants to collect data on the level of activity and expenditures associated with either "improving instruction" or "increasing knowledge."

Findings

The consultants' survey of faculty development activities in California's three public segments of higher education demonstrate the scope and emphasis of the enterprise:

- A large proportion of the faculty in all segments participate in development activities, as defined by their segments -- 93 percent in the Community Colleges, 95 percent in the State University, and 65 percent in the University.
- These faculty members participate in a wide variety of development activities, including attending conferences on and off campus, studying specialized development materials, developing new courses, observing peers' classes, conducting research, and mentoring new faculty.
- Models of outstanding programs exist in each of the segments and could serve as examples of what is possible if careful attention is given to planning programs, developing clear statements of purpose, and consistently evaluating their achievement. Yet the Commission's consultants term most program activities in all three segments as "scattered and episodic"; they report that these programs generally lack follow-up and evaluation; and they found no single standard of faculty development applicable to all three segments.
- During fiscal year 1985-86, State and local funds accounted for slightly more than half of the nearly $77 million devoted to faculty development, as defined by the segments. The approximately $42 million in public funds represented expenditures of $15.3 million in the Community Colleges, $21.6 million in the State University, and $5.0 million in the University of California.
- Finally, instruction-related faculty development is only a peripheral activity on many campuses. Although the data are not complete in this regard, it appears that most faculty development funds in the State University and the Community Colleges are spent on activities that are not directly related to instructional improvement.

General conclusions

The Commission's study provides State policy makers with information about those activities considered to be faculty development, the general purposes served by these activities, and a reasonable estimate of the size of the State's investment in faculty development. It has not fully answered two questions needed for responding to segmental budget requests -- (1) how well State resources are directed to faculty needs, and (2) how well various activities improve undergraduate education -- but as a result of the study, the Commission is now able to answer the five policy questions that it identified at the outset of the project:

1. *What is the need for and extent of faculty development?*

As a general principle, the need to provide State funds to enable the faculty of California's public colleges and universities to meet the educational requirements of the State's changing society is clear and unambiguous. The State should place staff and faculty development among its highest priorities in the support of higher education.

Participation in faculty development activities in all three segments is pervasive, but the scattered and episodic nature of the activities diminishes their effect upon the improvement of undergraduate education. By far the larger amounts of time and resources are spent on activities that "increase knowledge" rather than "improve instruction." While the appropriate distribution between these two general purposes of faculty development is still an open question, the Commission is clear that more effort must be directed toward creating faculty development programs that have a positive impact on the instructional mission of the three segments. In all the segments, this means marshaling the current available resources into better coordinated, more effective programs, and enlisting a broader cross-section of faculty in need-assessment and sustained development efforts.

2. *What level of State support for faculty development is appropriate?*

The Commission's review of community college programs in other states and its examination of successful California institutions that have secured private or federal grants show that an expenditure of approximately 2 percent of an institution's budget is required to mount an effective development program. In 1985-86, the combined expenditures of public funds for faculty development in the State's Community Colleges amounted to less than 1 percent of their operating budget. The Commission believes that additional State funds are needed for faculty development in this system.

The appropriate level of State funding for the two university segments is presently unclear because of the lack of consensus on the relationship of State funding of research to the funding of other types of faculty support. The Commission is, therefore, requesting that the universities provide additional information about and explanation of this relationship prior to obtaining any significant increase in State support for faculty development.

3. *What priorities should be reflected in the funding of faculty development?*

More attention and resources need to be devoted to the improvement of instruction. The growing diversity of the students, the changing technology available for instruction and learning, and the need for better assessment tools for evaluating the success of our efforts require that this emphasis receive a high priority in the allocation of additional State funds for faculty development.

The Commission believes that the State should identify the improvement of undergraduate instruction and faculty affirmative action as priorities for faculty development, but it should budget faculty development funds based on broad goals to provide institutions with maximum flexibility to select the most appropriate means for accomplishing these goals. At the same time, institutions should be held accountable for addressing the critical needs of the State in these priority areas.

4. *What need is there for planning and coordinating faculty development programs and activities?*

Faculty development experts consider institution-wide planning essential to the implementation of effective development programs. Such planning should respond to different types of perceived needs among faculty and involve the participants from the beginning of the planning through the final evaluation.

The consultants' survey of campuses in all three segments found "little coherent campus-wide planning . . . . Priorities were not set across the range of available development activities, and resources were not concentrated to increase outreach and impact for high priority faculty needs." In the following discussion about the individual segments, the Commission identifies this need as the first order of business for all three segments.

5. *What is the appropriate and equitable division of responsibility between the employer (State, segment, district, college) and individuals for establishing, operating, and funding these programs?*

Keeping current in one's field is a professional responsibility of faculty members, and each member should be expected to fulfill that responsibility as a condition of employment. The sharing of expenses for extraordinary costs associated with research or with travel to professional meetings, however, is an appropriate investment of State resources. Data from the consultants' survey indicate that faculty in the State University and Community Colleges have had to pay a disproportionate share of their off-campus expenses (Display 8, p. 17 above). In this type of expenditure, no rationale exists for the great disparity between the segments in the proportion of expenses a faculty member must bear for professional travel. Each segment and institution should review its practices in this regard to ensure that there is reasonable equity in this area of faculty development.

Conclusions about the segments

Each segment of California higher education exhibits special characteristics of faculty development that deserve separate attention. The following section summarizes some of the differences among them.

California Community Colleges

A striking feature of the Berman, Weiler findings is the degree of harmony in the California Community Colleges between faculty and administrator development priorities and the teaching mission of the institutions.

The consultants indicate that "Community Colleges faculty assigned about equal priority for spending additional funds between research, teaching and curriculum development, with research receiving somewhat lower priority" (Berman, Weiler Associates, 1987b, p. 109) and that Community College faculty development efforts suffer from several weaknesses:

- The vast majority of faculty development activities are one-time isolated incidents "that had substantially less cumulative impact on the improvement of instruction and curriculum."
- While a few colleges have well-developed, integrated, comprehensive approaches to faculty development, they are in the minority. By and large, comprehensive planning is not an element of faculty development in the Community Colleges.
- "Comprehensive faculty development planning based on campus program planning and faculty needs assessments is rare, and development activities are seldom linked to evaluations of faculty performance."
- Part-time faculty, who teach roughly one-third of the colleges' course load, are not reached by faculty development efforts (op. cit., p. 80).

Finally, they conclude, "On balance, Community College faculty development programs suffered from serious resource scarcities, and many colleges had not put available resources to effective use. Faculty participation in planning, preparing, and providing many development services was a potential strength, but it was underutilized" (op. cit., p. 82).

The California State University

A major conclusion about faculty development drawn by Berman, Weiler Associates is that "overall, current faculty development programs do not play a major role in improving undergraduate education at any of the segments" (1987a, p.17). To the extent that this conclusion is accurate for the State University, it has its basis in a number of other survey findings:

- Faculty development programs are pervasive in the State University, and many different kinds of opportunities are available -- but by and large they lack scope and depth (1987b, p. 50). Additionally, faculty spend a relatively small proportion of their time on faculty development (op. cit., p. 65).
- Comprehensive planning for faculty development is conspicuously lacking at both the segment and campus levels, characterized by a shortage of faculty needs assessments and linkage with faculty evaluations (op. cit., p. 50).

- Faculty access to development programs are limited by a number of factors, including scarce resources, heavy workload, and institutional choices in the use of discretionary funds that are often "husbanded to support instruction" (ibid.).
- Faculty "are often unaware of development opportunities and felt they were under too much work pressure to become much more proactive in advancing their interests at the campus level" (op. cit. p. 51).
- Resources to support comprehensive, effective faculty development programs are inadequate.

These problems are not impossible or impractical to address at the State policy level, and they suggest that the State should give more, rather than less, attention and support to meeting them. Berman, Weiler found that State University faculty members are highly motivated to participate in faculty development opportunities: "Many faculty members recognized their need for more development and had expended considerable effort and ingenuity to utilize what support was available. Faculty motivation and demand at the State University were important strengths, and would be critical to the success of any new or expanded faculty development programs" (ibid.).

University of California

The University of California holds that research is an assigned part of the faculty member's regular responsibilities and should not be considered as a faculty development activity. While numerous by-products of basic and applied research are identical to faculty development objectives, Commission staff has agreed that no feasible way exists to link some fraction of the University's research investment to these by-products for the purposes of this study.

The absence of data on this matter and the difficulty in securing information from the University's divisional and departmental levels create a gap in information that makes it difficult to generalize about the adequacy of faculty development support as a whole in the University. The attention that Berman, Weiler gave to the University's instructional improvement efforts, however, provides some basis for drawing conclusions about this aspect of its program. Two findings are significant in this regard:

1. A large proportion of faculty state a need for assistance in improving their ability to use technology in instruction (69 percent) and in developing curriculum (59 percent); and
2. Several systemwide efforts are associated with the improvement of instruction, including the University Opportunity Fund, the Task Force on Lower Division Education and new campus committees charged to implement its recommendations; and Committees on Teaching, which are divisional committees of the University's Academic Senate on six campuses.

The faculty response regarding the need for assistance in improving their ability to use technology is salient because it involves a need that is not readily met by an application of individual resources to keeping current with the burgeoning field of technology, and the application of technology to a growing number of academic disciplines is central to the future development of these disciplines.

The University's current systemwide efforts demonstrate not only that the University has begun to respond to the call from several quarters for more attention to its instructional mission but that its resources are equal to the task at the present level of effort. The University has not called for additional financial assistance from the State for faculty development except in the areas of faculty affirmative action. More remains to be done in continuing the direction the University has begun.

Policy recommendations

Recommendation for State policy

The State has been funding faculty development in the three public segments of higher education at an estimated level of $42 million per year. Considering the fact that the State's General Fund expenditure for current operations in the three segments exceeds $4.5 billion, this level of investment (less than 1 percent) in the maintenance of faculty is modest at best, and appears to be unfocused in its aims.

RECOMMENDATION 1: The State should ensure that in the budgeting of any additional funds for faculty development, an increased

proportion of its support is directed toward the improvement of undergraduate instruction. Specifically, this goal includes, but is not limited to:

1. **Improving instruction for students with diverse learning styles;**
2. **Improving the faculty's abilities to use new technologies;**
3. **Developing new means of student assessment;**
4. **Retraining faculty for teaching in a related field; and**
5. **Providing release time and other support for women and minority faculty for scholarly activity.**

Recommendation for the three segments

Segmental and campus efforts at planning for the most effective use of State funds have been minimal. In order to ensure that the priority needs of the faculty are met, that the State's objectives for improved undergraduate education and faculty affirmative action are addressed, and that appropriate attention is paid to the evaluation of alternative forms of faculty development and their effectiveness, the Commission offers the following four recommendations:

RECOMMENDATION 2: The President of the University of California, the Chancellor of the California State University, and the Chancellor of the California Community Colleges should each establish a process that will lead toward better planning, coordination and evaluation of faculty development in their segments, and will provide to the State more comprehensive and detailed information regarding campus objectives/purposes, needs, and expenditures in this area.

RECOMMENDATION 3: Toward that end, each segment should report to the Commission by January 1, 1989, with a procedure, guidelines, and schedule for initiating a campus planning process to provide for the coordination and evaluation of faculty development and related activities at the campus level. These guidelines should encourage the coordination of various faculty development and related activities through such means as a broadly representative campus-wide committee and the adoption of record-keeping procedures that will enable each segment to report the use of State funds for various campus, system, and State priorities. These guidelines should also encourage the development of evaluation processes with appropriate output measures for assessing the effectiveness of campus and segmental faculty development programs.

RECOMMENDATION 4: The California State University should indicate in its January 1, 1989, report to the Commission how it will coordinate planning for, allocating of, and reporting on the $2.5 million for "faculty research, creative and scholarly activities" contained in the 1988-1989 Governor's Budget, if funded.

RECOMMENDATION 5: By December 1, 1989, each segment should provide the Commission with a report that summarizes and comments on these campus plans. In their reports, the State University and the University of California should address the following two policy issues:

a. **The effects and feasibility of using a budget ratio as a funding goal for faculty development; and**
b. **The effects and feasibility of employing a restricted budget line item for funding faculty development.**

The purpose of the segments' reports is to provide an information base for the Commission's review of the segments' on-going expenditures for faculty development and subsequent requests for additional State funds.

In establishing a process for planning at the campus level, the segments should consider recommending that the following information be included in each campus plan:

1. A mission statement that incorporates faculty development goals;
2. A definition of faculty development;

3. An analysis of recruitment and hiring needs and strategies and the ways in which these needs and strategies involve faculty development;

4. A statement of individual faculty needs over the next one to five years;

5. A statement of the needs of the institution over the next one to five years;

6. A statement of how the State priorities of the improvement of undergraduate education and faculty affirmative action will be addressed at the campus and departmental levels;

7. A faculty development strategy aimed at meeting these priorities and needs;

8. An analysis of current decision-making processes for faculty development;

9. An estimate of the resources needed to implement this strategy;

10. A comprehensive accounting system for faculty development expenditures; and

11. Provisions for the evaluation of faculty development programs.

Recommendations for Community College faculty development

The finding that faculty development in California's Community Colleges suffers from "serious resource scarcities" is clearly borne out by the information they submitted for this report. Seventy percent of the responding institutions reported spending less than 1 percent of their operating budget on faculty development -- and over half reported spending one-half of 1 percent or less. This stands in sharp contrast to Florida, where approximately 2 percent of each college's budget is routinely allocated to staff and program development.

Despite the likelihood that some colleges may be choosing not to make allocations of available funds to faculty development, the overall evidence of need for additional resources for this purpose is considerable. Provision of additional State resources should be made over the next several years in a way which enlists the best efforts of the institutions to plan effective development programs and, where possible, to reallocate current funds in combination with new State funds for supporting these programs.

Toward that end, the Commission offers these three recommendations:

RECOMMENDATION 6: The State should adopt a budget goal that will raise each Community College's support of staff, faculty and program development to 2 percent of the College's State and local revenues for the previous budget year (Adopted March 21, 1988).

RECOMMENDATION 7: The State should allocate to each district in fiscal year 1988-89 an amount of funds equal to one-half of 1 percent of the district's State and local revenues during fiscal year 1987-88 for the planning and support of staff, faculty, and program development. These funds should be used to supplement the level of funds spent during fiscal year 1987-88, and a report on these expenditures should be made to the Board of Governors at the end of the fiscal year (Adopted March 21, 1988).

RECOMMENDATION 8: The Board of Governors should develop a funding plan for the support of staff, faculty, and program development in the California Community Colleges that provides:

a. An appropriate institutional matching requirement;

b. A requirement that planning, evaluation, and accountability procedures referred to in the recommendation for segmental planning be adopted at the district and campus levels.

c. A restricted budget line item for staff, faculty, and program development at the district and campus levels; and

d. Appropriate adjustments based on size or geographical considerations.

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CALIFORNIA POSTSECONDARY EDUCATION COMMISSION

THE California Postsecondary Education Commission is a citizen board established in 1974 by the Legislature and Governor to coordinate the efforts of California's colleges and universities and to provide independent, non-partisan policy analysis and recommendations to the Governor and Legislature.

Members of the Commission

The Commission consists of 15 members. Nine represent the general public, with three each appointed for six-year terms by the Governor, the Senate Rules Committee, and the Speaker of the Assembly. The other six represent the major segments of postsecondary education in California.

As of January 1988, the Commissioners representing the general public are:

Mim Andelson, Los Angeles
C. Thomas Dean, Long Beach, *Chairperson*
Henry Der, San Francisco
Seymour M. Farber, M.D., San Francisco
Lowell J. Paige, El Macero
Cruz Reynoso, Los Angeles, *Vice Chairperson*
Sharon N. Skog, Palo Alto
Thomas E. Stang, Los Angeles,
Stephen P. Teale, M.D., Modesto

Representatives of the segments are:

Yori Wada, San Francisco; representing the Regents of the University of California

Claudia H. Hampton, Los Angeles; representing the Trustees of the California State University

Borgny Baird, Long Beach; representing the Board of Governors of the California Community Colleges

Harry Wugalter, Thousand Oaks; representing the Chairman of the Council for Private Postsecondary Educational Institutions

Angie Papadakis, Palos Verdes; representing the California State Board of Education

James B. Jamieson, San Luis Obispo; representing California's independent colleges and universities

Functions of the Commission

The Commission is charged by the Legislature and Governor to "assure the effective utilization of public postsecondary education resources, thereby eliminating waste and unnecessary duplication, and to promote diversity, innovation, and responsiveness to student and societal needs."

To this end, the Commission conducts independent reviews of matters affecting the 2,600 institutions of postsecondary education in California, including Community Colleges, four-year colleges, universities, and professional and occupational schools.

As an advisory planning and coordinating body, the Commission does not administer or govern any institutions, nor does it approve, authorize, or accredit any of them. Instead, it cooperates with other state agencies and non-governmental groups that perform these functions, while operating as an independent board with its own staff and its own specific duties of evaluation, coordination, and planning,

Operation of the Commission

The Commission holds regular meetings throughout the year at which it debates and takes action on staff studies and takes positions on proposed legislation affecting education beyond the high school in California. By law, the Commission's meetings are open to the public. Requests to address the Commission may be made by writing the Commission in advance or by submitting a request prior to the start of a meeting.

The Commission's day-to-day work is carried out by its staff in Sacramento, under the guidance of its executive director, William H. Pickens, who is appointed by the Commission.

The Commission issues some 40 to 50 reports each year on major issues confronting California postsecondary education, and it makes these publications available without charge while supplies last.

Further information about the Commission, its meetings, its staff, and its publications may be obtained from the Commission offices at 1020 Twelfth Street, Third Floor, Sacramento, CA 98514; telephone (916) 445-7933.

ONE of a series of reports published by the Commission as part of its planning and coordinating responsibilities. Additional copies may be obtained without charge from the Publications Office, California Postsecondary Education Commission, Third Floor, 1020 Twelfth Street, Sacramento, California 95814-3985.

Recent reports of the Commission include:

88-7 Size, Growth, and Cost of Administration at the California State University: A Report Prepared by Price Waterhouse and MGT Consultants for the California Postsecondary Education Commission (February 1988)

88-8 Overview of the 1988-89 Governor's Budget for Postsecondary Education in California: Testimony by William H. Pickens, Executive Director, California Postsecondary Education Commission (March 1988)

88-9 Faculty Salaries in California's Public Universities, 1988-89: The Commission's 1987 Report to the Legislature and Governor in Response to Senate Concurrent Resolution No. 51 (1965) (March 1988)

88-10 Eligibility of California's 1986 High School Graduates for Admission to Its Public Universities: A Report of the 1986 High School Eligibility Study (March 1988)

88-11 Eligibility for Freshman Admission to the University of California: A Statement to the Regents of the University by William H. Pickens, Executive Director, California Postsecondary Education Commission, February 18, 1988 (March 1988)

88-12 Time to Degree in California's Public Universities: Factors Contributing to the Length of Time Undergraduates Take to Earn Their Bachelor's Degree (March 1988)

88-13 Evaluation of the California Academic Partnership Program (CAPP): A Report to the Legislature in Response to Assembly Bill 2398 (Chapter 620, Statutes of 1984) (March 1988)

88-14 Standardized Tests Used for Higher Education Admission and Placement in California During 1987: The Third in a Series of Annual Reports Published in Accordance with Senate Bill 1758 (Chapter 1505, Statutes of 1984) (March 1988)

88-15 Update of Community College Transfer Student Statistics Fall 1987: University of California, The California State University, and California's Independent Colleges and Universities (March 1988)

88-16 Legislative Update, March 1988: A Staff Report to the California Postsecondary Education Commission (March 1988)

88-17 State Policy for Faculty Development in California Public Higher Education: A Report to the Governor and Legislature in Response to Supplemental Language in the 1986 Budget Act (May 1988)

88-18 to 20 Exploring Faculty Development in California Higher Education: Prepared for the California Postsecondary Education Commission by Berman, Weiler Associates:

88-18 Volume One: Executive Summary and Conclusions, by Paul Berman and Daniel Weiler, December 1987 (March 1988)

88-19 Volume Two: Findings, by Paul Berman, Jo-Ann Intili and Daniel Weiler, December 1987 (March 1988)

88-20 Volume Three: Appendix, by Paul Berman, Jo-Ann Intili, and Daniel Weiler, January 1988 (March 1988)

88-21 Staff Development in California's Public Schools: Recommendations of the Policy Development Committee for the California Staff Development Policy Study, March 16, 1988 (March 1988)

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88-25 Proposed Construction of the Petaluma Center of Santa Rosa Junior College: A Report to the Governor and Legislature in Response to a Request for Capital Funds for Permanent Off-Campus Center in Southern Sonoma County (May 1988)